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| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>  |  | ATTORNEY'S DOCKET NUMBER<br><b>2002DE442</b><br>U.S. APPLICATION NO. <b>10/537556</b> (If known, see 37 CFR 1.5) |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/EP2003/013279</b>  | INTERNATIONAL FILING DATE<br><b>26 November 2003</b> | PRIORITY DATE CLAIMED<br><b>04 December 2002</b>   |
| TITLE OF INVENTION <b>Quaternary Ammonium Compounds</b>  |  |  |
| APPLICANT(S) FOR DO/EO/US <b>Manlio GALLOTTI, Patricia RAMOS PEREIRA DE MORAES &amp; Cássio QUEIROZ CAVALCANTE</b>   |  |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |  |
| 1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.<br>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.<br>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.<br>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).<br>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))<br>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).<br>b. <input type="checkbox"/> has been communicated by the International Bureau.<br>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).<br>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).<br>a. <input checked="" type="checkbox"/> is attached hereto.<br>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).<br>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))<br>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).<br>b. <input type="checkbox"/> have been communicated by the International Bureau.<br>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.<br>d. <input checked="" type="checkbox"/> have not been made and will not be made.<br>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).<br>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).<br>10. <input checked="" type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).<br>Items 11 to 20 below concern document(s) or information included:<br>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.<br>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.<br>13. <input checked="" type="checkbox"/> A preliminary amendment.<br>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.<br>15. <input type="checkbox"/> A substitute specification.<br>16. <input type="checkbox"/> A power of attorney and/or change of address letter.<br>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.<br>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).<br>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).<br>20. <input checked="" type="checkbox"/> Other items or information: <b>See Attachment 1</b> |  |  |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|  |              |   |   |                                       |        |
|--|--------------|---|---|---------------------------------------|--------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/537556</b>  |              | INTERNATIONAL APPLICATION NO.<br>PCT/EP2003/013279                            |   | ATTORNEY'S DOCKET NUMBER<br>2002DE442 |        |
| The following fees have been submitted   |              |   |   | <b>CALCULATIONS      PTO USE ONLY</b> |        |
| 21. <input checked="" type="checkbox"/> Basic national fee..... \$300  |              |   |   | \$                                    | 300.00 |
| 22. <input checked="" type="checkbox"/> Examination fee<br>If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)..... \$100<br>All other situations..... \$200  |              |   |   | \$                                    | 200.00 |
| 23. <input checked="" type="checkbox"/> Search fee<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100<br>International Search Report prepared and provided to the Office..... \$400<br>All other situations..... \$500  |              |   |   | \$                                    | 400.00 |
| <b>TOTAL OF 21, 22 and 23 =</b>  |              |   |   | \$                                    | 900.00 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  |              |   |   |                                       |        |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE  |                                       |        |
| 12 - 100 =   | -94 /50 =    |   | x \$250   | \$                                    | 0.00   |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).   |              |   |   | \$                                    | 0.00   |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA  | RATE  | \$                                    |        |
| Total claims   | 15 - 20 =    | 0   | x \$ 50   | \$                                    | 0.00   |
| Independent claims   | 1 - 3 =      | 0   | x \$200   | \$                                    | 0.00   |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |   | + \$360   | \$                                    | 0.00   |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |   |   | \$                                    | 900.00 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.   |              |   |   |                                       | 0.00   |
| <b>SUBTOTAL =</b>  |              |   |   | \$                                    | 900.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).  |              |   |   | \$                                    | 0.00   |
| <b>TOTAL NATIONAL FEE =</b>  |              |   |   | \$                                    | 900.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property   |              |   |   | \$                                    | 0.00   |
| <b>TOTAL FEES ENCLOSED =</b>   |              |   |   | \$                                    | 940.00 |
|  |              |   |   | Amount to be refunded:                | \$     |
|  |              |   |   | Amount to be charged:                 | \$     |
| <p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>03-2060</u> in the amount of \$ <u>900.00</u> to cover the above fees.<br/>A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-2060</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> |              |   |   |                                       |        |
| <p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p>   |              |   |   |                                       |        |
| <p>SEND ALL CORRESPONDENCE TO:</p> <p>Richard P. Silverman<br/>Clariant Corporation<br/>Intellectual Property Law Department<br/>4000 Monroe Road<br/>Charlotte, NC 28205</p>  |              |   | <p style="text-align: center;"><br/>SIGNATURE</p> <p style="text-align: center;">Richard P. Silverman<br/>NAME</p> <p style="text-align: center;"><b>CUSTOMER NO. 25,255</b>    <u>36,277</u><br/>REGISTRATION NUMBER</p> |                                       |        |

10/537556

JCO6 Rec'd PCT/PTO 03 JUN 2005  
Addendum

Attachment 1

Express Mail Label No. ED 795273261 US; copy of International Search Report and Transmittal Letter Notification of Amendments Under PCT Article 34 with one page of amended sheet and Copy of Notification of Transmittal of International Preliminary Examination Report (7 pages)

**Express Mail Label Number ED 795273261 US**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Docket: 2002DE442

Manilo GALOTTI et al.

Serial No.: to be assigned

Filed: June 3, 2005

For: Quaternary Ammonium Compounds

**Transmittal Letter**  
**Notification of Amendments Under PCT Article 34**

Mail Stop:  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Preliminary to the examination of the above-identified application, an Amendment was filed under Article 34 of the Patent Cooperation Treaty prior to the International Preliminary Examination. Please note that the attached page, Claim 1, was filed with the European Patent Office.

Applicant respectfully requests submission of this page before examination of the application and before entry of the Preliminary Amendment.

Respectfully submitted,

  
Richard P. Silverman, Reg. No. 36,277

**(CUSTOMER NUMBER 25,255)**

Clariant Corporation  
Industrial Property Department  
4000 Monroe Road  
Charlotte, North Carolina 28205  
Direct Dial: 704/331-7156  
Facsimile: 704/331-7707

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****Express Mail Label Number ED 795273261 US****Date of Mailing: June 3, 2005****CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that on the date indicated above this International application and the documents referred to as enclosed therein, of:

- CERTIFICATION UNDER 37 CFR 1.10 (Express Mail) (1 page)
- TRANSMITTAL LETTER TO THE DO/EO/US (3 pages) w/ duplicate (6 pages)
- Copy of International Search Report (3 pages)
- Copy of Notification of Transmittal of International Preliminary Examination Report (7 pages)
- Transmittal Letter Notification of Amendments Under PCT Article 34 with Annex (2 pages)
- Preliminary Amendment w/ Abstract (08 pages)
- ENGLISH TRANSLATION OF APPLICATION (12 PAGES SPECIFICATION, claims)  
(claims 14 in number)
- Self-addressed stamped Postcard Receipt (1)

**Inventor:**      **Manlio GALLOTTI**  
                     **Patricia RAMOS PEREIRA DE MORAES**  
                     **Cássio QUEIROZ CAVALCANTE**

**For:**            **Quaternary Ammonium Compounds**

**International Application No.: PCT/EP2003/013279**

**International Filing Date: 26 November 2003**

**Priority Filing Date: 04 December 2002**

is being deposited with the United States Postal Service as "Post Office to Addressee" Express Mail addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, Mail Stop:, in accordance with 37 CFR 1.10.

  
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Vicki L. Sgro